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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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David Hitz

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EXAMINER

GYORFI, THOMAS A

ART UNIT

PAPER NUMBER

2135

DATE MAILED: 11/07/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/927,409

Applicant(s)

HITZ ET AL.

Examiner

Tom Gyorfi

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 18 September 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 31-38, 40-50 and 57-66 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 31-38, 40-50 and 57-66 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>9/18/06</u> . | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. Claims 31-38, 40-50, and 57-66 remain for examination. The correspondence filed 9/18/06 amended claims 31, 34, 35, 38, 40, 41, 43, 47, and 59; and added claims 61-66.

### ***Information Disclosure Statement***

2. The information disclosure statement (IDS) submitted on 9/18/06 is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

### ***Response to Arguments***

3. Applicant's arguments filed 9/18/06 have been fully considered but they are not persuasive. Applicant argues, "*Thus, Kuhn discloses the reasons why static mapping is desirable. This is entirely different from using static mapping along with dynamic mapping. In fact, by this reasoning, dynamic mapping should not be used because it does not reduce system overhead. Thus, this alleged motivation can be interpreted as teaching against use of dynamic mapping, which of course teaches against use of dynamic mapping along with static mapping*". Examiner disagrees with this contention. Examiner observes that the admission by Kuhn wherein static mapping has advantages as compared to dynamic mapping does not by itself invalidate the use of dynamic mapping, particularly as Kuhn discloses as the primary embodiment of that invention wherein the RBAC uses dynamic mapping for permissions (Kuhn, col. 9, line 50 – col. 10, line 30). It is also noted that MLS systems as a general rule use static mapping for permissions, as evidenced by the fact that when one makes a change to

the system such as removing a defunct user, all permissions for all objects must be at once rather than on an as-needed basis (Kuhn, col. 2, lines 10-25); it is also noted while static mapping is required for MLS, it nevertheless has the disadvantage of being administratively cumbersome (Ibid). Thus, as the preferred embodiment of Kuhn teaches using static [MLS] and dynamic [RBAC] mapping concurrently to remedy this disadvantage (col. 7, lines 30-40), thus motivation remains to combine the references.

***Claim Rejections - 35 USC § 103***

4. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

5. Claims 31-38, 40-50, and 57-66 are rejected under 35 U.S.C. 103(a) as being unpatentable over Montague et al. (U.S. Patent 5,761,669), and further in view of Kuhn (U.S. Patent 6,023,765).

Regarding claims 31 and 43:

Montague discloses a method of operating a file server, including steps of identifying a file on said file server as using a first security style selected from among a plurality of security styles corresponding to a plurality of security styles implemented on said file server (Fig. 3 and col. 13, line 60 – col. 14, line 42); and mapping access control limits in another one of said plurality of security styles into said first security style, wherein said mapping is dynamic for reading or modification of said access control limits for said file (col. 13, lines 60-65).

Montague does not disclose wherein said mapping is static for validation of said access control limits for said file. However, Kuhn teaches that static mapping is possible as an additional means for establishing access rights for another security style (col. 8, lines 5-15; col. 9, line 50 – col. 10, line 50). It would have been obvious to one of ordinary skill in the art to allow for static mapping of access permissions as taught by Kuhn. One would be motivated to do so because the combination of mapping schemes allows one to reduce the number of connections needed to maintain the system without losing security (Kuhn, col. 7, lines 30-40).

Regarding claim 34:

Montague and Kuhn disclose all the limitations of claim 31 above. Montague further discloses enforcing said first security style for all accesses to said file including accesses in another one of said plurality of security styles (col. 14, lines 42-60), wherein said enforcing step enforces said security style for all accesses to the file regardless of the security style associated with the entity who seeks access to the file (col. 14, lines 45-60; col. 6, lines 50-60).

Regarding claim 35:

Montague and Kuhn disclose all the limitations of claim 31 above. Montague further discloses associating said file with a subset of files in a file system and limiting said subset of files to a security subset of said plurality of security style (Fig. 3, in particular elements 72 and 74, and the unlabeled drive icons); wherein attempts to set

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permission in said subset of files are restricted to said security subset (col. 2, lines 25-30). Examiner contends that, due at least in part to the established differences in handling access permissions among varying operating systems, it is inherent to the disclosed invention that each drive as illustrated in Figure 3 represents one file system wherein all files contained on a given drive necessarily share the same security style, dependent on which operating system said drive was originally formatted for.

Regarding claim 38:

Montague and Kuhn disclose all the limitations of claim 35 above. Kuhn further discloses caching associations and limits for the subsets of files for future use (col. 10, lines 30-43).

Regarding claim 39:

Montague and Kuhn disclose all the limitations of claim 38 above. Montague and Kuhn also disclose mapping permissions in said first security style to a second security style, and wherein said mapping can be performed dynamically (Montague, col. 7, lines 50-65) or statically (Kuhn, col. 10, lines 30-40).

Regarding claim 40:

Montague and Kuhn disclose all the limitations of claim 40 above. Montague further discloses identifying said file with a second security style with a file server

request for setting permissions for said file when said file server request is successful (col. 14, lines 50-60).

Regarding claim 41:

Montague and Kuhn disclose all the limitations of claim 40 above. Montague further discloses associating said second security style with a file server request for setting permissions for said file when said file server request is successful (col. 14, lines 24-27 and also lines 35-40).

Regarding claim 42:

Montague and Kuhn disclose all the limitations of claim 40 above. Montague further discloses wherein said file is associated with said second security style regardless of the security style previously associated with said file (element 210 of Figure 9).

Regarding claim 46:

Montague and Kuhn disclose all the limitations of claim 43 above. Montague further discloses a file server including a subtree of files in said file system associated with a security subset of said plurality of security styles (Figure 3), wherein said file server restricts attempts to set permission in said subtree to said security subset (col. 7, lines 55-60).

Regarding claim 49:

Montague and Kuhn disclose all the limitations of claim 43 above. Montague further discloses wherein said file server is capable of altering the security style associated with said file in response to a file server request (col. 14, lines 49-53).

Regarding claim 50:

Montague and Kuhn disclose all the limitations of claim 49 above. Montague further discloses wherein said file server is capable of altering the security style associated with said file in response to a file server request when said file server request is successful (col. 14, lines 50-60).

Regarding claims 32, 36, 44, and 47:

Montague discloses the limitations found in claims 31, 35, 43, and 46 above. Montague further discloses a Windows NT security style (col. 6, lines 1-15).

Regarding claims 33, 37, 45, and 48:

Montague discloses the limitations found in claims 31, 35, 43, and 46 above. Montague further discloses a Unix security style (col. 6, lines 1-15).

Regarding claims 57 and 58:

Montague and Kuhn disclose all the limitations of claims 31 and 43 above. Montague further discloses enforcing said first security style for all accesses to said file



including accesses in another one of said plurality of security styles (col. 14, lines 42-60) and translating access control limits for said file to a first security style associated with said accesses (col. 7, lines 50-65).

Regarding claims 59 and 60:

Montague and Kuhn disclose all the limitations of claims 31 and 43 above.

Montague further discloses enforcing said first security style for all accesses to said file including accesses in another one of said plurality of security styles and caching the translation of an access control list to access permissions (col. 18, lines 41-46).

Regarding claims 61 and 64:

Montague and Kuhn disclose all the limitations of claims 31 and 43 above.

Montague and Kuhn further disclose dynamic mapping comprises mapping access control limits in said another one of said plurality of security styles into said first security style at a time the mapping of access control limits is requires (Montague: col. 13, lines 60-65; Kuhn: col. 10, lines 30-32);

Regarding claims 62 and 65:

Montague and Kuhn disclose all the limitations of claims 31 and 43 above. Kuhn further discloses wherein static mapping comprises mapping access control limits in said another one of said plurality of security styles into said first security style at the time said another one of said plurality of security styles is established (col. 10, lines 32-38).

Regarding claims 63 and 66:

Montague and Kuhn disclose all the limitations of claims 31 and 43 above. Refer to the rejections of claims 61, 62, 64, and 65 above as applicable.

### ***Conclusion***

6. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

- U.S. Patent 5,099,485 to Bruckert et al.
- U.S. Patent 5,027,271 to Curley et al.
- U.S. Patent 4,970,640 to Beardsley et al.

7. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

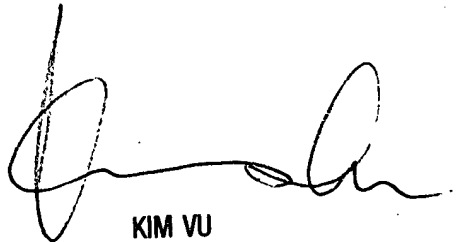
A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tom Gyorfi whose telephone number is (571) 272-3849. The examiner can normally be reached on 8:30am - 5:00pm Monday - Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Vu can be reached on (571) 272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

TAG  
11/2/06



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